

FORM PTO-1449		ATTY. DOCK NO. 231/003	SERIAL NO. 08/982,272
LIST OF PATENTS AND OTHER ITEMS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT 1 PTO		APPLICANT: Kipps et al.	
(Use several sheets if necessary)		FILING DATE: December 1, 1997	GROUP: 1642 1644
APR 20 1998 PATENT & TRADEMARK OFFICE 1537			

U.S. PATENT DOCUMENTS							
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE
	AA						
	AB						
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FOREIGN PATENT DOCUMENTS							
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB CLASS	TRANSLATION
							YES NO
	AD						
	AE						
	AF						

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)		
PG	AG	Nadler, Lee M., "The Malignant Lymphomas," <u>Harrison's Principles of Internal Medicine</u> , Wilson et al., eds., McGraw-Hill, New York, Chapter 302, pp. 1599-1612
	AH	Thomas, J. Alero et al., "Epstein-Barr Virus-Associated Lymphoproliferative Disorders in Immunocompromised Individuals," <u>Advances in Cancer Research</u> , Woude et al., eds., Academic Press, Inc., 57:329-380 (1991)
	AI	Fanslow, William C. et al., "Structural characteristics of CD40 ligand that determine biological function," <u>Seminars in Immunology</u> , 6:267-278 (1994)
	AJ	Armitage, Richard J. et al., "Molecular and biological characterization of a murine ligand for CD40," <u>Nature</u> , 357:80-82 (1992)
	AK	Hollenbaugh, Diane et al., "The human T cell antigen gp39, a member of the TNF gene family, is a ligand for the CD40 receptor: expression of a soluble form of gp39 with B cell co-stimulatory activity," <u>The EMBO Journal</u> , 11:4313-4321 (1992)
	AL	Zhang, Haidi et al., "Amelioration of Collagen-induced Arthritis by CD95 (Apo-1/Fas)-ligand Gene Transfer," <u>J. Clin. Invest.</u> , 100:1951-1957 (1997)
	AM	Wiley, James A. et al., "Exogenous CD40 Ligand Induces a Pulmonary Inflammation Response," <u>Journal of Immunology</u> , 158:2932-2938 (1997)
	AN	Tracey, Kevin J. et al., "TUMOR NECROSIS FACTOR: A Pleiotropic Cytokine and Therapeutic [sic] Target," <u>Annu. Rev. Med.</u> , 45:491-503 (1994)
	AO	Galle, Peter R. et al., "Involvement of the CD95 (APO-1/Fas) Receptor and Ligand in Liver Damage," <u>J. Exp. Med.</u> , 182:1223-1230 (1995)
	AP	Sato, Ken et al., "An aggressive nasal lymphoma accompanied by high levels of soluble Fas ligand," <u>British Journal of Haematology</u> , 94:379-382 (1996)
RE	AQ	van Oers, M. H. J. et al., "Expression and Release of CD27 in Human B-Cell Malignancies," <u>Blood</u> , 82:3430-3436 (1993)

EXAMINER:	PHILLIP GAMBEL 2/25/98	DATE CONSIDERED:
EXAMINER: Initial if reference is considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include a copy of this form with next communication to applicant.		

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OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)				
M	AR	Smith, Matthew M. et al., "Rapid Identification of Highly Active and Selective Substrates for Stromelysin and Matrilysin Using Bacteriophage Peptide Display Libraries," <u>The Journal of Biological Chemistry</u> , 270:6440-6449 (1995)		
	AS	Nagase, H. et al., "Human Matrix Metalloproteinase Specificity Studies Using Collagen Sequence-Based Synthetic Peptides," <u>Biopolymers (Peptide Science)</u> , 40:399-416 (1996)		
	AT	Cantwell, Mark J. et al., "Adenovirus Vector Infection of Chronic Lymphocytic Leukemia B Cells," <u>Blood</u> , 88:4676-4683 (1996)		
	AU	Woll, P. J. et al., "Gene therapy for lung cancer," <u>Annals of Oncology</u> , 6 Suppl. 1:S73-S77 (1995)		
	AV	Smith, K. T. et al., "Gene delivery systems for use in gene therapy: an overview of quality assurance and safety issues," <u>Gene Therapy</u> , 3:190-200 (1996)		
	AW	Cooper, Mark J., "Noninfectious Gene Transfer and Expression Systems for Cancer Gene Therapy," <u>Seminars in Oncology</u> , 23:172-187 (1996)		
	AX	Shaughnessy, Elizabeth et al., "Parvoviral Vectors for the Gene Therapy of Cancer," <u>Seminars in Oncology</u> , 23:159-171 (1996)		
	AY	Glorioso, J. C. et al., "Development and application of herpes simplex virus vectors for human gene therapy," <u>Annu. Rev. Microbiol.</u> , 49:675-710 (1995)		
	AZ	Flotte, T. R. et al., "Adeno-associated virus vectors for gene therapy," <u>Gene Therapy</u> , 2:357-362 (1995)		
	BA	Randrianarison-Jewtoukoff, Voahangy et al., "Recombinant Adenoviruses as Vaccines," <u>Biologicals</u> , 23:145-157 (1995)		
	BB	Kohn, Donald B., "The current status of gene therapy using hematopoietic stem cell," <u>Current Opinion in Pediatrics</u> , 7:56-63 (1995)		
	BC	Vile, R. G. et al., "Retroviruses as vectors," <u>British Medical Bulletin</u> , 51:12-30 (1995)		
	BD	Russell, Stephen J., "Replicating vectors for cancer therapy: a question of strategy," <u>Seminars in Cancer Biology</u> , 5:437-443 (1994)		
	BE	Ali, Munaf et al., "The use of DNA viruses as vectors for gene therapy," <u>Gene Therapy</u> , 1:367-384 (1994)		
	BF	Tesselaar, Kiki et al., "Characterization of Murine CD70, the Ligand of the TNF Receptor Family Member CD27," <u>The Journal of Immunology</u> , 159:4959-4965 (1997)		
	BG	Peitsch, Manuel C. et al., "A 3-D model for the CD40 ligand predicts that it is a compact trimer similar to the tumor necrosis factors," <u>International Immunology</u> , 5:233-238 (1993)		
	BH	Horton, Robert M., "PCR-mediated Recombination and Mutagenesis," <u>Molecular Biotechnology</u> , 3:93-99 (1995)		
M	BI	Ali, Stuart Alvaro et al., "PCR-Ligation-PCR Mutagenesis: A Protocol for Creating Gene Fusions and Mutations," <u>BioTechniques</u> , 18:746-750 (1995)		

EXAMINER: PHILIP GAMBLE 2/25/99	DATE CONSIDERED:
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APPLICANT:

Kipps et al.

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APR 20 1998 PILING DATE:
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1642 1644

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

M	BJ	Vilardaga, J. P. et al., "Improved PCR Method for High-Efficiency Site-Directed Mutagenesis Using Class 2S Restriction Enzymes," <u>BioTechniques</u> , 18:604-606 (1995)
1	BK	Majumder, Kumud et al., "Background-minimized Cassette Mutagenesis by PCR Using Cassette-specific Selection Markers: A Useful General Approach for Studying Structure-Function Relationships of Multisubstrate Enzymes," <u>PCR Methods and Applications</u> , 4:212-218 (1995)
	BL	Boles, Eckhard et al., "A rapid and highly efficient method for PCR-based site-directed mutagenesis using only one new primer," <u>Curr. Genet.</u> , 28:197-198 (1995)
	BM	Vallejo, Abbe N. et al., "In Vitro Synthesis of Novel Genes: Mutagenesis and Recombination by PCR," <u>PCR Methods and Applications</u> , 4:S123-S130 (1994)
	BN	Henkel, Thomas et al., "Functional Analysis of Mutated cDNA Clones by Direct Use of PCR Products in <i>in Vitro</i> Transcription/Translation Reactions," <u>Analytical Biochemistry</u> , 214:351-352 (1993)
	BO	Tessier, Daniel C. et al., "PCR-Assisted Large Insertion/Deletion Mutagenesis," <u>BioTechniques</u> , 15:498-501 (1993)
	BP	Morrison, Hilary G. et al., "A PCR-Based Strategy for Extensive Mutagenesis of a Target DNA Sequence," <u>BioTechniques</u> , 14:454-457 (1993)
	BQ	Cadwell, R. Craig et al., "Randomization of Genes by PCR Mutagenesis," <u>PCR Methods and Applications</u> , 2:28-33 (1992)
	BR	Stappert, Jörg et al., "A PCR method for introducing mutations into cloned DNA by joining an internal primer to a tagged flanking primer," <u>Nucleic Acids Research</u> , 20:624 (1992)
	BS	Kunkel, Thomas A., "Rapid and efficient site-specific mutagenesis without phenotypic selection," <u>Proc. Natl. Acad. Sci. USA</u> , 82:488-492 (1985)
	BT	Kunkel, Thomas A. et al., "Rapid and Efficient Site-Specific Mutagenesis without Phenotypic Selection," <u>Methods in Enzymology</u> , 154:367-382 (1987)
	BU	Okayama, Hiroto and Paul Berg, "A cDNA Cloning Vector That Permits Expression of cDNA Inserts in Mammalian Cells," <u>Molecular and Cellular Biology</u> , 3:280-289 (1983)
	BV	Cosman, David et al., "Cloning, sequence and expression of human interleukin-2 receptor," <u>Nature</u> , 312:768-771 (1984)
	BW	Berman, Joan W. et al., "Gene transfer in lymphoid cells: Expression of the Thy-1.2 antigen by Thy-1.1 BW5147 lymphoma cells transfected with unfractionated cellular DNA," <u>Proc. Natl. Acad. Sci. USA</u> , 81:7176-7179 (1984)
	BX	Deans, Robert J. et al., "Expression of an immunoglobulin heavy chain gene transfected into lymphocytes," <u>Proc. Natl. Acad. Sci. USA</u> , 81:1292-1296 (1984)
	BY	Brody, Steven L. et al., "Adenovirus-mediated <i>in Vivo</i> Gene Transfer," <u>Ann. N. Y. Acad. Sci.</u> , 716:90-103 (1994)
M	BZ	Srivastava, Arun, "Parvovirus-Based Vectors for Human Gene Therapy," <u>Blood Cells</u> , 20:531-538 (1994)

EXAMINER: *PHILIP GAMER 2/28/99*

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APR 20 1998
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OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)				
<i>M</i>	CA	Jolly, Douglas, "Viral vector systems for gene therapy," <u>Cancer Gene Therapy</u> , 1:51-64 (1994)		
	CB	Russell, S. J., "Replicating Vectors for Gene Therapy of Cancer: Risks, Limitations and Prospects," <u>European Journal of Cancer</u> , 30A:1165-1171 (1994)		
	CC	Yee, Jiing-Kuan et al., "Generation of High-Tier Pseudotyped Retroviral Vectors with Very Broad Host Range," <u>Methods in Cell Biology</u> , Chapter 5, 43:99-112 (1994)		
	CD	Boris-Lawrie, Kathleen A. et al., "Recent advances in retrovirus vector technology," <u>Current Opinion in Genetics and Development</u> , 3:102-109 (1993)		
	CE	Tolstoshev, Paul, "Gene therapy, concepts, current trials and future directions," <u>Annu. Rev. Pharmacol. Toxicol.</u> , 33:573-596 (1993)		
	CF	Carter, Barrie J., "Adeno-associated virus vectors," <u>Current Opinion in Biotechnology</u> , 3:533-539 (1992)		
	CG	Raper, Steven E. et al., "Safety and Feasibility of Liver-Directed <i>Ex Vivo</i> Gene Therapy for Homozygous Familial Hypercholesterolemia," <u>Annals of Surgery</u> , 223:116-126 (1996)		
	CH	Lu, Li et al., "Stem cells from bone marrow, umbilical cord blood and peripheral blood for clinical application: current status and future application," <u>Critical Reviews in Oncology/Hematology</u> , 22:61-78 (1996)		
	CI	Koç, Omer N. et al., "Transfer of Drug Resistance Genes Into Hematopoietic Progenitors to Improve Chemotherapy Tolerance," <u>Seminars in Oncology</u> , 23:46-65 (1996)		
	CJ	Fisher, Lisa J. et al., "In vivo and ex vivo gene transfer to the brain," <u>Current Opinion in Neurobiology</u> , 4:735-741 (1994)		
	CK	Goldspiel, Barry R. et al., "Human gene therapy," <u>Clinical Pharmacy</u> , 12:488-505 (1993)		
	CL	Diloo, Dagmar et al., "CD40 Ligand Induces an Antileukemia Immune Response In Vivo," <u>Blood</u> , 90:1927-1933 (1997)		
	CM	Schultze, Joachim L. et al., "Autologous Tumor Infiltrating T Cells Cytotoxic for Follicular Lymphoma Cells Can Be Expanded In Vitro," <u>Blood</u> , 89:3806-3816 (1997)		
	CN	Danko, Istvan et al., "Direct gene transfer into muscle," <u>Vaccine</u> , 12:1499-1502 (1994)		
	CO	Raz, Eyal et al., "Systemic immunological effects of cytokine genes injected into skeletal muscle," <u>Proc. Natl. Acad. Sci. U.S.A.</u> , 90:4523-4527 (1993)		
	CP	Davis, Heather L. et al., "Direct Gene Transfer into Skeletal Muscle <i>In Vivo</i> : Factors Affecting Efficiency of Transfer and Stability of Expression," <u>Human Gene Therapy</u> , 4:151-159 (1993)		
<i>N</i>	CQ	Sugaya, Susumu et al., "Inhibition of Tumor Growth by Direct Intratumoral Gene Transfer of Herpes Simplex Virus Thymidine Kinase Gene with DNA-Liposome Complexes," <u>Human Gene Therapy</u> , 7:223-230 (1996)		

EXAMINER:	<i>Philip Gamber</i>	2/25/99	DATE CONSIDERED:
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231/003SERIAL NO.
08/982,272APPLICANT:
Kipps et al.FILING DATE:
December 1, 1997GROUP:
1642 (644)

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

Me	CR	Prentice, Howard et al., "Ischemic/Reperfused Myocardium Can Express Recombinant Protein Following Direct DNA or Retroviral Injection," <u>J. Mol. Cell Cardiol.</u> , 28:133-140 (1996)
	CS	Soubrane, C. et al., "Direct Gene Transfer of a Plasmid Carrying the Herpes Simplex Virus-Thymidine Kinase Gene (HSV-TK) in Transplanted Murine Melanoma: <i>In Vivo</i> Study," <u>European Journal of Cancer</u> , 32A:691-695 (1996)
	CT	Kass-Eisler, Alyson et al., "Prospects for Gene Therapy with Direct Injection of Polynucleotides," <u>Ann. N. Y. Acad. Sci.</u> , 772:232-240 (1995)
	CU	DeMatteo, Ronald P. et al., "Gene Transfer to the Thymus," <u>Annals of Surgery</u> , 222:229-242 (1995)
	CV	Addison, Christina L. et al., "Intratumoral injection of an adenovirus expressing interleukin 2 induces regression and immunity in a murine breast cancer model," <u>Proc. Natl. Acad. Sci. U.S.A.</u> , 92:8522-8526 (1995)
	CW	Hengge, Ulrich R. et al., "Expression of Naked DNA in Human, Pig, and Mouse Skin," <u>Journal of Clinical Investigation</u> , 97:2911-2916 (1996)
	CX	Felgner, Philip L. et al., "Improved Cationic Lipid Formulations for <i>In Vivo</i> Gene Therapy," <u>Ann. N. Y. Acad. Sci.</u> , 772:126-139 (1995)
	CY	Furth, Priscilla A. et al., "Gene Transfer into Mammalian Cells by Jet Injection," <u>Hybridoma</u> , 14:149-152 (1995)
	CZ	Vile, R.G. et al., "Targeting of cytokine gene expression to malignant melanoma cells using tissue specific promoter sequences," <u>Annals of Oncology</u> , 5 Suppl 4:S59-S65 (1994)
	DA	Yovandich, Jason et al., "Gene Transfer to Synovial Cells by Intra-Articular Administration of Plasmid DNA," <u>Human Gene Therapy</u> , 6:603-610 (1995)
	DB	Spessot, Robert, "Cloning of the Herpes Simplex Virus ICP4 Gene in an Adenovirus Vector: Effects on Adenovirus Gene Expression and Replication," <u>Virology</u> , 168:378-387 (1989)
	DC	Graham, Frank L. et al., "Manipulation of Adenovirus Vectors," <u>Methods in Molecular Biology</u> , Vol. 7, Chapter 11, pp. 109-128 (1991)
	DD	Sambrook, J. et al., "Standard Protocol for Calcium Phosphate-mediated Transfection of Adherent Cells," <u>Molecular Cloning. A Laboratory Manual</u> , 2d edition, Chapter 16:33-37 (1989)
	DE	Cantwell, Mark et al., "Acquired CD40-ligand deficiency in chronic lymphocytic leukemia," <u>Nature Medicine</u> , 3:984-989 (1997)
	DF	Kipps, Thomas J. et al., "New developments in flow cytometric analyses of lymphocyte markers," <u>Laboratory Immunology II</u> , 12:237-275 (1992)
	DG	Rassenti, Laura Z. et al., "Lack of Allelic Exclusion in B Cell Chronic Lymphocytic Leukemia," <u>J. Exp. Med.</u> , 185:1435-1445 (1992)
Pa	DH	Ranheim, Eric A. et al., "Activated T Cells Induce Expression of B7/BB1 on Normal or Leukemic B Cells through a CD40-dependent Signal," <u>J. Exp. Med.</u> , 177:925-935 (1993)

EXAMINER:

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FILING DATE: December 1, 1997 GROUP: 1642 1644		

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)		
<i>M</i>	DI	Clark, Edward A. et al., "Activation of human B cells mediated through two distinct cell surface differentiation antigens, Bp35 and Bp50," <u>Proc. Natl. Acad. Sci. U.S.A.</u> , 83:4494-4498 (1986)
	DJ	Banchereau, Jacques et al., "Long-Term Human B Cell Lines Dependent on Interleukin-4 and Antibody to CD40," <u>Science</u> , 251:70-72 (1991)
	DK	Blieden, Timothy M. et al., "Class-I MHC Expression in the Mouse Lung Carcinoma, Line 1: A Model for Class-I Inducible Tumors," <u>Int. J. Cancer Supp.</u> , 6:82-89 (1991)
	DL	Kouskoff, Valerie et al., "Organ-Specific Disease Provoked by Systemic Autoimmunity," <u>Cell</u> , 87:811-822 (1997)
<i>M</i>	DM	Evan, Christopher et al., "Clinical Trial to Assess the Safety, Feasibility, and Efficacy of Transferring a Potentially Anti-Arthritic Cytokine Gene to Human Joints with Rheumatoid Arthritis," <u>Human Gene Therapy</u> , Vol. 7, pp. 1261-1280 (1996)

EXAMINER:	<i>PHILIP G. GARNER</i>	DATE CONSIDERED:
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U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE
M	AA	5,565,321	10/15/96	Spriggs et al.			
	AB	5,540,926	7/30/96	Aruffo et al.			
	AC	5,606,023	2/25/97	Chen et al.			
	AD	5,519,119	5/21/96	Yamada et al.			
	AE	4,990,455	2/5/91	Yamagishi et al.			
	AF	5,422,104	6/6/95	Fiers et al.			
	AG	5,486,463	1/23/96	Lesslauer et al.			
M	AH	5,480,981	1/2/96	Goodwin et al.			
	AI	5,573,924	11/12/96	Beckmann et al.			

FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB CLASS	TRANSLATION YES NO
M	AJ	WO 93/08207	4/29/93	PCT			
	AK	WO 94/17196	8/4/94	PCT	SEP 10 1998		
	AL	WO 95/17202	6/29/95	PCT	SERVICE		
	AM	WO 94/04570	3/3/94	PCT			
M	AN	0 585 943 A2	3/9/93	EPO			

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, etc.)

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